

STATE OF CALIFORNIA
RECORDS RETENTION SCHEDULE
APPROVAL REQUEST
STD. 72 (REV. 7-82)

8-7/24/98

Submit three copies with three copies of the
Records Retention Schedule, STD. 73.

TO: DEPARTMENT OF GENERAL SERVICES
OFFICE OF INFORMATION SERVICES

1500 5th Street, Room 116
Sacramento, CA 95814 (or IMS C-39)

(916) 445-2294 or CALNET 485-2294

NEW SCHEDULE INFORMATION (If applicable)	(6) SCHEDULE NUMBER 16840	(7) SCHEDULE DATE May 1, 1997	(8) CUBIC FEET (Total Schedule)
PREVIOUS SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER(S) PSS2	(10) APPROVAL NUMBER(S) 72-5	(11) APPROVAL DATE(S) Central Case Files
		(12) PAGE NUMBER(S) REVISE All	

PART I -- AGENCY STATEMENTS

As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on the attached schedule, I certify that all records are listed, that I have reviewed the need for the records, (per Section 1611 of the State Administrative Manual) that each retention period is necessary and correct as scheduled, and (for a revised schedule) that all items on the previous schedule have been accounted for.

(1) SIGNATURE-MANAGER DIRECTLY RESPONSIBLE FOR THE RECORDS
Victoria A. Proby (15) TITLE
Chief Case Records Section 2/11/98

In accordance with Government Code 14755, approval of the attached Records Retention Schedule by the Department of General Services is hereby requested. Retention periods have been established by this agency after a careful evaluation of all the factors listed in Section 1667 of the State Administrative Manual.

I hereby certify that I am authorized to act on behalf of the head of this agency in matters pertaining to the retention and disposal of records. (Per Section 1611 of the State Administrative Manual.)

(16) SIGNATURE-RECORDS MANAGEMENT ANALYST
Shirley A. Proby (17) TITLE
Departmental Records Coordinator
(18) NAME (Printed or Typed)
Shirley A. Proby (19) TELEPHONE
323-4095 (20) DATE SIGNED
3-2-98

PART II -- DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

(21) SIGNATURE-OS CONSULTANT
Thermona M. Rutledge (22) APPROVAL NUMBER
98-171
(23) TITLE
Records Management Consultant (24) DATE SIGNED
5-20-98

PART III -- ARCHIVAL SELECTION (Per Government Code Section 14755)

THE ATTACHED RECORDS RETENTION SCHEDULE:

(25) ☐ Contains no material subject to further review by the California State Archives

(26) ☒ Contains material subject to archival review. Items stamped "Hold/Notify Archives" may not be destroyed without clearance by the Secretary of State. (Per Section 1614 of the State Administrative Manual.)

(27) SIGNATURE-CHIEF OF ARCHIVES
Robert S. Gray (28) DATE SIGNED
AUG 14 1998

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 5-92)

See instructions on reverse
and in SAM 1600

DEPARTMENT (1) Corrections	SCHEDULE NUMBER (2) 16840	DATE (3) May 1, 1997
ORGANIZATIONAL UNIT INS: Correctional Case Records	Page 1 of 4 Pages (4)	
ADDRESS (number, street, city) 1515 S Street, Sacramento	DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 98-171	

ITEM NUMBER (Triple between (6)	CUBIC FEET (space items) (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple-space between items) (9)	M e d i a l (10)	V i t a l (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
INS.			<u>Correctional Case Records</u> This Records Retention Schedule (RRS) defines the retention, disclosure and destruction requirement for all Correctional Case Records (CCR). CCR is responsible for the development and monitoring of standards required for all offices maintaining and disclosing the inmate central file. In addition, CCR is responsible for Case Records Administration, Legal Processing and Identification and Warrants Units and the Departmental Archives.								<u>Retention:</u> Columns 12 through 16 are clarified in Column 17, Remarks. Media (Column 10): P=Paper, C=Computer Printout, M=Magnetic or Electronic, D=Working Microfilm/fiche, S=Master (Silver) Microfilm/fiche, X=Mixed (Cassettes, videos, etc.). Vital Records (Column 11): Critical to reconstruct or perform Department's basic functions (e.g., Inmate/Parolee Central File and Records) after a disaster. Department storage (Local Archives) can be used in place of State Records Center (SRC) for non-local offices or institutions. <u>Disclosure Restrictions:</u> (Column 16) X: Exempt from public review per the Public Records Act, Government Code Section 6254. XI: Subject individual may have the right to review per the Information Practices Act, Civil Code Section 1798.24, unless exempt under Section 1798.40.

RECORDS RETENTION SCHEDULE

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											<u>Destruction:</u> Department of General Services (DGS) Audit: Records may be destroyed after DGS audit or the designated retention period, whichever comes first. Nonconfidential: recycle. Confidential or exempt (Column 16): shred. Historical (Column 8): Transfer to the State Archives. Do not destroy.
0010			Administrative Records: Copies of general administrative records such as correspondence, supervisor employee files, budgets, procurement, reports, etc.. Originals are maintained in Headquarters offices.	P		*			*		* Retain per RRS 16000.
0020			Case Records Administration								
0020A			<ul style="list-style-type: none"> Compliance Reviews Review of all Case Records offices files and procedures. 	P		A+3Y			A+3Y		Retain as active until completed, then retain three years (office).

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ITEM NUMBER	CUBIC FEET	CALIFORNIA STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Triple-space between items)	M e d i a l (10)	V i t a l (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
(Triple between (6)	space items) (7)	(8)	(9)			OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
0020B		<i>Note / Noting Archives</i>	<ul style="list-style-type: none"> Litigation Inmate central files undergoing special legal review, activity or litigation. 	P		A+3Y	27Y		A+30Y		Retain as active until resolved, then forward to the appropriate location (e.g. Case Records Office or Departmental Archives). Once the inmate/parolee leaves the correctional system, the inactive file will be retained thirty years (Departmental Archives per RRS 16840A).
0020C			<ul style="list-style-type: none"> Monthly Workload Statistics Includes statistics of all Case Records Offices. 	P		3Y			3Y		Retain three years (office).
0030			Departmental Archives Responsible for storing all inactive inmate central files.			*	*		*		*Retain per RRS 16840A.
0040			Electronic Record Systems	M							
0040A			<ul style="list-style-type: none"> Automated Case Records (Pending Development) 	M		*	*		*		*Electronic program pending development.
0040B			<ul style="list-style-type: none"> Offender Based Information System (OBIS) Controlled by the Information Systems Branch. 	M		*	*		*		*RRS pending for Information Systems Branch.
0050			Identification and Warrants Responsible for providing information to law enforcement, staff and public regarding inmate/parolee identification, location and warrants.			*	*		*		*Retain per RRS 16840I.

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0060			Legal Processing Responsible for the legal processing of required inmate/parolee central file(s).			*	*		*		*Retain per RRS 16840I.
0070			Reports			A+3Y			A+3Y		Retain as active until completed, then retain three years (office).
0080			Special Projects Includes projects such as Automated Case Records Studies, Case Records Consolidation, Early-Late Inmate Releases, etc.			A+3Y			A+3Y		Retain as active until completed, then retain three years (office).